



Employee Performance Rating System Supervisor's Handbook



Manual of Instructions
For
Application Rating Panel Members

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HUMAN RESOURCES DEPARTMENT

EMPLOYEE PERFORMANCE RATING SYSTEM SUPERVISOR'S HANDBOOK

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This Handbook recognizes that the terms and conditions of employment for many City of Fort Lauderdale employees are governed by a collective bargaining agreement. Accordingly, any of the guidelines in the Handbook which are in conflict with a collective bargaining agreement shall be superseded by that agreement.



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INTRODUCTION

Rating employees is one of the oldest and most universal practices of management. There never was a time when supervisors did not estimate the relative worth of employees. However, it is only within recent years that rating has progressed from a highly subjective and mysterious procedure to a level of consistent and comprehensible practice.

The usefulness of the performance rating system depends almost entirely upon the understanding, impartiality, and objectivity with which you make your ratings. Performance rating is one of the most important responsibilities of your supervisory position. It is a basic tool of supervision. It should be used to help your employees improve their job performance.

The care and skill used by you, the supervisor, in rating your employees is a measure of your ability to direct the work of employees. Employee performance ratings, made in an informed and conscientious manner, can be valuable to both you and your employees alike. Through the periodic review of an employee's work performance you gain a better understanding of the individual's value and capacity. You can more effectively develop and train employees to make the best use of their respective abilities, and you can recognize meritorious service as well as assist less than satisfactory employees. From an employee's standpoint, the service rating is important because it points out specifically how well they are progressing on their job and performing the work assigned to them. It should also stimulate morale and interest since it formally recognizes efficient service and points out unsatisfactory service.

This Handbook is designed to give you a working understanding of the Employee Performance Rating System. Before rating an employee, you should be thoroughly familiar with the principles and procedures outlined on the following pages.



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GENERAL PROVISIONS

Definition

A performance rating is a periodic evaluation of an employee's performance of assigned duties and responsibilities. This rating is made by the employee's immediate supervisor and generally reviewed by the next higher supervisor. A final review will be made by the department head or delegated division head.

Objectives.....

The general objectives of the employee performance rating system shall be: To keep employees informed of what is expected of them and how well they are performing, to recognize good work, to help supervisors recognize and remedy weaknesses in employee performance, to help identify training needs, to provide a continuing record of an employee's performance history, to serve as a guide for such personnel actions as transfers and promotions, and to determine the size of within-range salary increases to be awarded.

Legal Basis

Section 20-65 of the Pay Plan provides that within range salary increases shall be considered at intervals of one year in recognition of meritorious performance and granted upon the written recommendation of the department head. Personnel Rule 111, Section 3, further provides that the Director of Human Resources shall provide such forms and procedures, as he/she may consider necessary, appropriate, or desirable to carry out the personnel program. Personnel Rule X, Section 14, provides for rating probationary employees prior to the completion of their probationary period.

General Policy.....

The requirements of the employee's position and not comparisons with other individual employees will constitute the standards of performance and the basis upon which supervisory officials will rate the efficiency of each employee under their jurisdiction. The standards of performance against which observed performance is compared shall be the performance, which may be expected of a fully qualified, competent, and acceptable employee after a reasonable period of training.



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PREPARATION OF RATINGS

Types of Rating Reports and When they are Prepared

1. *Probationary* - prepared prior to the completion of the probationary period for both original and promotional appointments. They should be received in the Human Resources Department on or before the date specified. Once an employee's anniversary date is passed, the probationary employee will become permanent with or without a satisfactory performance report or the completion of the Probationary Period Form.
2. *Salary Change* - Prepared annually for employees who have not yet reached the top step of their salary range. The Human Resources Department should receive them one (1) week prior to the effective date of the employee's salary change.
3. *Records Only* - Completed annually for employees who have reached the top step of their salary range.
4. *Special* - Prepared between normal rating reports upon special request. Special reports, unless requested by the Director of Human Resources, will not be made for periods of less than three months. Special ratings are required three months after an employee has received an overall rating of marginal or unsatisfactory. They may also be required to accompany requests for special, unscheduled merit raises. Finally, they may be approved by the Director of Human Resources upon the request of a department head or upon request of an employee provided the employee's supervisor and department head concur in the request.

Performance Rating Scale

There are twenty (20) performance rating factors under Item #15 of the Employee Performance Rating Report. Those rating factors applicable to the employee being rated will be marked (X) by the computer. For each of these factors, the employee's performance should be rated utilizing the following scale:

- **Unsatisfactory** - This means important aspects of the employee's performance on a particular rating factor are such that the employee is considered a liability rather than an asset to the department and clearly failed to meet the minimum performance requirements for the rating factor. Unsatisfactory ratings on any factor must be explained by specific examples of the employee's work, which caused such a rating and your plan to remedy the situation. (Please refer to Item #20 on the Employee Performance Rating Report).
- **Marginal** - A marginal rating on a performance-rating factor indicates that the employee does not perform satisfactorily on that particular rating factor. Such performance indicates the need for immediate counseling by the rating supervisor in order to raise the employee's work performance. Marginal performance cannot be accepted over long periods of time and will ultimately lead to disciplinary action if not corrected. (Please refer to Item #20 on the Employee Performance Rating Report).
- **Satisfactory** - A satisfactory rating indicates that an employee generally meets, but seldom exceeds, the required standards of the job in that specific rating factor.



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- **Above Satisfactory** - This means the performance of an employee has exceeded what is normally expected of a fully competent employee on that rating factor. Such a rating should reflect consistent above average performance by the employee, and should not be based on just periodic instances of above average performance. The employee should exemplify work standards on the factor for which the average employee needs to aspire.
- **Outstanding** - This is unusual performance. Genuinely "outstanding" performance is the highest level you can possibly expect in all phases of the work relating to the factor being rated. Outstanding work performance means a degree of performance that can be achieved but rarely maintained. A rating of outstanding on any factor must be substantiated by examples of superior performance, goals and objectives achieved, etc. (Please refer to Item #19 on the Employee Performance Rating Report.)

Performance Rating Factors

The twenty (20) rating factors are the criteria by which an employee's performance is measured. Those factors applicable to the employee being rated will be marked (X) by the computer under Item #15 on the Employee Performance Rating Report. The factors are listed and defined below along with general examples of what constitutes unsatisfactory or outstanding performance in each particular factor:

ATTITUDE

Refers to the degree of interest and motivation shown toward the job; the willingness to accept responsibility, carry it out and be held accountable for the results; the employee's openness toward constructive criticism and eagerness to improve; the employee's general relationships with other people.

Outstanding attitude would be displayed by an employee who shows exceptional job interest; who accepts constructive criticism; who is eager to accept additional responsibility; who takes difficulties in stride; and who is extremely able to deal with people.

Unsatisfactory attitude would be displayed by an employee who has weak job motivation; who has trouble dealing with the public and other employees; who is discourteous, unfriendly, uncooperative and/or blunt; and whose attitude adversely affects others.

INITIATIVE

Refers to the employee's ability to suggest and/or initiate usable and innovative new techniques, methods, procedures; the employee's resourcefulness and self-reliance; the employee's ability to stimulate others to think and work.

Outstanding initiative would be displayed by an employee who is self-reliant, adaptable, and resourceful; who reasons out many good methods, procedures, techniques; who stimulates others to work and think.

Unsatisfactory initiative would be displayed by an employee who requires very close supervision; who never suggests improvements, new methods or ideas; who constantly has to be told what and how to do things; who resents change.



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QUANTITY OF WORK

Concerns the volume of work which is accomplished by the employee and the difficulty of the work done; reference should be made to specific standards for quantity of work (where established) or to reasonable measures of productivity where special standards do not exist.

Outstanding work quantity is evidenced by a volume of work which is consistently far above standard and by an employee who is very rarely behind time and work schedules.

Unsatisfactory work quantity is evidenced when an employee never succeeds in completing a fair share of work and who is consistently behind work and time schedules.

QUALITY OF WORK

Pertains to the degree of excellence of the work performed including the degree of accuracy, neatness, completeness, thoroughness, carefulness, workmanship and craftsmanship.

Outstanding work quality would be displayed by an employee who consistently shows the highest degree of accuracy, neatness, completeness and thoroughness; who demonstrates excellent craftsmanship and whose work can always be relied upon.

Unsatisfactory work quality would be displayed by an employee who is very careless and inaccurate; who makes repeated errors; who shows shoddy and poor workmanship; and whose work is far below acceptable standards.

WORK HABITS

Refers to the employee's observance of rules, regulations, procedures, methods, and instructions; the employee's organization of work and use of working time; and the employee's observance of working hours.

Outstanding work habits would be displayed by an employee who is always on time; who has excellent organization of work, who diligently observes all rules, regulations, directives, etc.; who often reports early and leaves late.

Unsatisfactory work habits would be displayed by an employee who frequently arrives late and leaves or stops working ahead of quitting time; who fails to follow rules, regulations, procedures, etc.; and who is very poor in organizing and conducting work.

ATTENDANCE

Pertains to employee's leave record and employee's conscientiousness in following proper reporting procedures; concerned with such items as excessive sick leave, absences without leave, etc.

The attendance rating is automatically generated on the performance evaluation form based on the leave history of the employee for the rating period.

The supervisor may change the attendance rating of marginal or unsatisfactory with a written recommendation by the rater; however, the rating shall not exceed a satisfactory rating. All such changes shall be explained and justified on the rating form.



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INTERPERSONAL RELATIONS

Pertains to employee's willingness to develop a positive working relationship with fellow employees, to work in team or group situations; to be cooperative, helpful and polite to the public and fellow employees; to project a positive image of the City through the employee's manner toward others.

Outstanding interpersonal relations are evidenced by employees who willingly contribute extra effort and energy to cooperate with and assist other people; who facilitate the team approach; and who always demonstrate a sincere concern for the welfare of others.

Unsatisfactory interpersonal relations are shown by an employee who displays little regard for fellow employees, superiors or the public and who is ineffective in teamwork situations.

SAFETY

Concerns the personal safety habits of the employee; the employee's regard for safe working practices, for care of tools, machines, equipment, property, etc.; the employee's observance of safety rules, regulations and procedures; the employee's active promotion of safe practices and accident prevention.

Outstanding safety is demonstrated by an employee who exercises exceptional care; who observes all safety rules; who sets a good example and actively promotes safe practices and accident prevention.

Unsatisfactory safety would be evidenced by an employee who disregards safe working practices; who frequently does not exercise proper care; who abuses property, equipment and materials.

PLANNING & ORGANIZATION

Refers to employee's effectiveness in organizing work and planning future objectives; in accurately forecasting workloads and resources; in recognizing and reacting to difficulties, in establishing priorities for tasks to be accomplished.

Outstanding planning & organization is shown by employees who are extremely effective in organizing work of the unit and in planning future objectives; who anticipates and plans for difficulties; who forecasts workloads and resources accurately.

Unsatisfactory planning & organization is demonstrated by an employee who lacks basic planning and organizational skills; whose plans are extremely short-range with no consideration of long-range effects, potential difficulties, etc.

EMPLOYEE DEVELOPMENT

Pertains to recognition of individual differences and assignment of tasks based on individual capabilities; employee's counseling of subordinates and promotion of their training and self-development; recognition of subordinate's meritorious work.

Outstanding employee development is demonstrated when a supervisor recognizes and handles individual differences; often counsels and offers sound advice to subordinates for improvement and self-development; actively inspires employee involvement in training and self-development; and encourages employee suggestions.



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Unsatisfactory employee development results when a supervisor is apathetic about employee recognition and self-development; does not encourage suggestions from employees; rarely gives recognition to meritorious employees or recognizes employee deficiencies and makes recommendations.

DIRECTING AND CONTROLLING

Concerns effective delegation to others; the coordination of group efforts toward a goal or objective; the achievement of objectives on schedule; the efficient use of available resources to perform a task effectively; the ability to recognize problems and take appropriate action.

Outstanding direction and control is demonstrated by a supervisor who delegates effectively; who directs the work of the unit to meet schedules and achieve objectives at all times; who is prompt in making accurate and logical decisions and adjustments in response to difficulties or changes.

Unsatisfactory direction and control is the result of a supervisor who seldom delegates; whose direction of work lacks continuity with schedules and objectives; and who is ineffective in adjusting to meeting unexpected needs and situations.

SELF-EXPRESSION

Refers to ability to write understandable, factual, precise and complete reports; to express oneself clearly and effectively, both orally and in writing, and to organize and present material well.

Outstanding self-expression exists when an employee can express himself or herself clearly and effectively on all subjects; uses appropriate terminology, etc.; and organizes and presents material well to all types and sizes of audiences.

Unsatisfactory self-expression exists when an employee cannot communicate and express subject matter clearly and effectively; when the main points of a report or presentation are frequently unorganized and/or not clearly conveyed; when the employee digresses, misses the main point; cannot make effective use of visual aids, etc.

SUPERVISORY RELATIONS

Refers to enforcement of fair, timely, and effective discipline; consideration of employee feelings; promotion of employee involvement in solving of work problems and implementation of change; actions which inspire employee confidence and enthusiasm and promote good morale.

Outstanding supervisory relations is displayed when a supervisor enforces fair, timely and effective discipline, when necessary; frequently counsels employees and is considerate of their feelings; promotes employee involvement in developing new ideas, changes, solving work problems; inspires employees.

Unsatisfactory supervisory relations exists when a supervisor shows little interest in subordinate employees; neglects needed disciplinary measures; frequently shows partiality; lacks employee respect and negatively affects employee morale.



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TECHNICAL PROFICIENCY

Pertains to the employee's degree of proficiency in the various technical aspects of the job, whether employee stays abreast of changes and developments in the field.

Outstanding technical proficiency is shown by an employee who is thoroughly proficient in all technical aspects of the job; who never needs assistance or instruction to solve complex technical problems; and who keeps abreast of changes and developments in the field through current literature, training, etc.

Unsatisfactory technical proficiency is demonstrated when an employee lacks the technical knowledge to perform even limited and routine job functions; tends to make errors; makes little effort to stay abreast of changes in the field.

JUDGMENT

Refers to the ability to think logically, to evaluate available choices and to make carefully thought-out practical decisions; pertains to maturity exhibited by the employee in performing all phases of the job.

Outstanding judgment is exhibited when an employee consistently thinks logically, weighs all factors, and makes complex, practical decisions always characterized by sound, decisive action; when an employee exhibits maturity in all phases of the job; and when the employee can be trusted to perform conscientiously.

Unsatisfactory judgment results when an employee fails to weigh all factors and arrive at a sound decision; when an employee's analysis and conclusions are subject to error; and when an employee's decisions must be closely reviewed by the supervisor.

CREATIVITY

Refers to characteristics such as originality, alertness, initiative, and imagination as exhibited in employee's work; concerns employee's efforts to develop and suggest improvements, ideas, etc.

Outstanding creativity is evidenced by someone who constantly seeks and implements (with approval) new ideas and procedures in the job; whose work is consistently characterized by marked originality, alertness, initiative and imagination.

Unsatisfactory creativity is displayed by an employee who develops no innovative procedures; never seeks new ideas or methods and is reluctant to try out new ideas developed by others.

ADAPTABILITY

Pertains to an employee's flexibility to meet new situations with confidence, to grasp and adjust to new assignments and/or methods readily and without difficulty.

Outstanding adaptability is displayed by an employee who is highly flexible, who meets new situations with confidence, and has exceptional ability in adjusting to new or changing situations with no difficulty.



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Unsatisfactory adaptability would be displayed by an employee who is inflexible, resistant to change and who performs poorly in new or different situations.

DEPENDABILITY

Refers to employee's reliability and attention to work, even with little or no supervision; employee's completion of assigned tasks properly and in a timely fashion tends to be indicative of this factor.

Outstanding dependability is shown by employees who carry out directions conscientiously; who accept responsibility for their own actions; who are completely reliable; require little or no supervision; and justify the utmost confidence.

Unsatisfactory dependability is displayed by employees who do not apply themselves to their work; who require constant close supervision; and who do not adequately utilize time.

JOB KNOWLEDGE

Refers to knowledge (e.g. technical, procedural, policy or other) an employee should have to perform well and to handle even unusual and complex aspects of the job.

Outstanding job knowledge is evidenced by an employee who handles the unusual or complex aspects of the job exceptionally well and who is frequently consulted by others.

Unsatisfactory job knowledge is evidenced by the frequent need for assistance, even on routine aspects of the job.

ABILITY TO LEARN

Refers to employee's ability to understand and follow instructions and directions; employee's openness to new methods and procedures; acceptance of training and instruction.

Outstanding learning ability is characterized by immediate mastery of new ideas, concepts, procedures, etc.; and the seldom need for instruction.

Unsatisfactory learning ability is evidenced by difficulty in understanding directions and the need for repeated and detailed instruction.

WHO PREPARES AND REVIEWS THE RATINGS

The employee's immediate supervisor is the one who actually rates that employee's service. The immediate supervisor is that individual who assigns and directs the employee's work, checks or inspects the employee's work for proper methods and results, is responsible for discipline and is immediately responsible for the work of the employee. The next higher supervisor is primarily a reviewing rater. The reviewing rater should be the immediate supervisor of the first rater and should be familiar with the work of the employee being rated. The reviewing rater's main function in the rating process is to review the ratings made by the first line supervisor. Prior to submitting the rating form to the Human Resources Department for computation of the overall rating, the department head or his/her designee shall also review the ratings which have been made for all employees under their direction in order to insure consistency of standards and compliance with the intent of the rating system.



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Disagreements over ratings between the reviewing rater and the rating supervisor shall be resolved by mutual discussion. If changes are agreed upon, a new evaluation report shall be prepared. In those rare cases where agreement cannot be reached, the department head and the Director of Human Resources shall be consulted. The reviewing rater does not have the authority for unilateral changes of a rating made by the employee's immediate supervisor.

Performance Rating Reports shall be reviewed by the department head or delegated division head. Only in the case of department heads shall the reviewing and rating authorities be the same person. All rating forms must be reviewed and signed by the employee rated. If an employee disagrees with the rating given, he/she shall be called to confer with the reviewing authority. The reviewing authority may make any comments upon the rating form but has no authority to change the original rating.

DUAL SUPERVISION

Employees who have been employed under more than one supervisor during the rating period shall be rated by the supervisor having supervision of the employee at the time the rating is prepared. The rating supervisor may consult previous supervisors in arriving at a rating, but in such cases should indicate the period of time covered by his/her rating.

GENERAL INSTRUCTIONS FOR RATING

The rater should remember that the standards against which an employee is measured will vary according to the type of work that the employee is doing or should do. Do not begin to rate your employees until you are familiar with the rating factors and the rating scale outlined on previous pages.

HOW TO RATE

In rating employees, you should remember that the requirements of the employee's position, rather than a comparison with other individual employees, should be the basis upon which you rate an employee's performance. In other words, you should rate the employee's actual performance against the standards of performance established for his/her position.

If the performance rating is to give an accurate picture of an employee's job behavior or performance, the rating has to measure criteria, which are relevant and important to the job. The rating should therefore be based on observable, relevant, specific and measurable elements in the job. These major elements are referred to as the work objectives. The measures, which indicate how well a work objective is accomplished, are known as the performance standards. Together the work objectives and performance standards form the foundation for determining the quality of an employee's performance.

Employees are most successful in their jobs when they have a very clear understanding of what is expected of them. Work objectives and performance standards provide a means whereby both the employee and supervisor can clarify and specify their expectations about the employee's job.

At the end of this Supervisor's Handbook are several Performance Planning Forms. Additional copies of this form are available from the Human Resources Department. You should use this form to develop, with your subordinates, work objectives and performance standards for their



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jobs. The following pages will provide you with further information on how to develop these objectives and standards.

DEVELOPING A PERFORMANCE PLAN

Developing a Performance Plan is the process of projecting desired results and deciding upon courses of action to reach those desired results. Open and free interaction between you and your employee and a commitment to reaching mutually agreed upon objectives and standards is crucial to the success of the Performance Planning Program.

The Performance Plan is the backbone of the performance planning and rating system; it is the essential foundation for later determining the quality of an employee's performance. The Performance Plan is the means whereby the employee and supervisor can clarify and specify their expectations about the employee's job.

Not only does the work plan give employees a clear idea of what is expected of them, but it can serve as a planning tool for them throughout the year. It can also serve as an "instant" feedback mechanism throughout the year for both supervisors and their employees.

The more involved employees are in setting their own objectives, the more committed they will be to meeting those objectives.

Before actually completing the Performance Plan Form, it is important that both you and your subordinate thoroughly understand each of the key terms used on the form.

WORK OBJECTIVES

A work objective is a target or result to accomplish. It is "what" the employee is going to do.

Statements of work objectives describe the end results of the job. They articulate what the job is expected to accomplish. These statements serve as criteria for determining the degree to which the individuals in the job have performed what is expected of them. Since they do serve this purpose, it is extremely important that both the individual in the job and you, the supervisor, have a clear understanding of what the work objectives mean. Work objectives also serve as a communication link between you and your individual employees.

The first step in formulating work objectives is for the employee to discuss the job with the supervisor. The job description or class specification prepared and maintained by the Human Resources Department is frequently a good starting place for this discussion of work objectives since the job description specifies the duties of the job class.

You and your employee should seek to mutually agree upon the content of the job, that is, those things that the employee is paid to do and for which the employee is held accountable. Most jobs have from four to eight primary work objectives, which the job exists to fulfill. When the work objectives reflect both the supervisor's and the subordinate's perception of what is expected on the job, they can be used as the criteria for appraising performance.

The following points will help you in the development of the work objectives:



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- Work objectives define the end results a job is expected to produce and indicate how the job produces those end results;
- Work objectives generally do not change from year to year;
- Work objectives remain essentially the same no matter who holds a particular job;
- Work objectives must be specific enough that both the employee and supervisor know exactly what is to be accomplished;
- Work objectives must be realistic and obtainable ;
- Work objectives can be added, deleted, or revised to reflect the redesign of a job or the redevelopment of duties during a reorganization;
- Work objectives form the basis for a clear understanding of job content between employees and their supervisors;
- Certain work objectives can be fulfilled only by the person in the job;
- Certain work objectives for a job may be accomplished through subordinates, and this fact should be evident in the wording of the work objective;
- Work objectives should be worded so that their accomplishment will not conflict with the work objectives of others or with overall Department and City goals and objectives;
- Work objectives should be controllable by the incumbent. Do they have the authority, resource capability, money, staff, time, and materials to do the job?

PERFORMANCE STANDARDS

A performance standard is a milestone, which indicates how well an objective is being accomplished or expresses the conditions that will exist if an objective is accomplished in an acceptable manner. In short, a standard tells when, how much, how well, or at what cost.

1. Time Standard - tells when the objective will be done. It may be expressed in terms of a deadline or a frequency rate such as daily, weekly, etc.
2. Quantity Standard - tells how much will be done; for example, conduct 4 surveys, cut acres of grass, organize teams.
3. Quality Standard - tells how well something will be done; for example, less than 2% error rate, with 75% positive responses, no more than 3 complaints a month, no valid complaints, etc.
4. Resource Standard - tells what resources are necessary for successful completion; for example, an amount of material needed or an actual dollar cost.

To assess performance against work objectives, performance must be measured in some rational manner. Achievement must be measured because this is the only way performance



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can be appraised fairly, uniformly, and objectively. If a work objective is not measurable, then a "good job" is anybody's guess, and one supervisor's "average" is another's "excellent" performance. "Measurable" means that anyone can look at a person's performance and work objective and make an appraisal that is very close to what anyone else would make. Agreed upon measures force attention on job performance, rather than on the individual.

PRIORITIES

A priority is a weight established for each objective which expresses the objective's relative importance to the overall job.

COMPLETING THE PERFORMANCE PLANNING FORM

There are four columns on the Performance Planning Form. The first three, the "Priority," the "Work Objectives," and the "Performance Standards" columns should be completed during a performance planning conference. The fourth column entitled "Performance Notes" is reserved for use by the employee and supervisor throughout the year. A more thorough explanation of the uses of the "Performance Notes" column may be found later in this handbook.

DEVELOPING WORK OBJECTIVES

The supervisor and employee should write work objectives for the employee before completing any other column. These objectives may be one of three kinds:

1. New projects or program objectives. These would be new activities, which the employee is involved in developing, or implementing or current activities which require a major change or revision. Examples might include:
 - A. Investigate and evaluate new street cleaning equipment.
 - B. Formulate new operating standards and procedures for data control.
 - C. Develop and implement new accounting systems for budget control.
2. Routine task objectives. Only those routine tasks, which are an integral part of the job and represent a major output of work or considerable time (10% of the job or more), should be listed as objectives. All employees are involved in some routine tasks in order to accomplish parts of their job. All these should not be included. However, an employee should include those routine activities, which are recurring or represent a major investment in time; otherwise, large segments of the employee's job may not be included in the Performance Plan, which is the basic tool for performance rating. Examples of routine tasks which might be included in a Performance Plan are:
 - A. Maintain files of correspondence, forms, reports, and other materials.
 - B. Read water meters on an assigned route and record readings.
 - C. Cut, thread, and install water piping.
 - D. Water and mow grass.



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3. Personal professional development objectives. These are objectives used to commit the employee to some personal professional development activities which will enhance his or her ability to do the job .
 - A. Attend a seminar on management.
 - B. Get a high school equivalency diploma.
 - C. Read two books in my technical field.

The kinds of objectives and the relative proportion of new projects to routine tasks or personal development objectives will vary depending on the requirements of the employee's job and his/her own personal needs. All three kinds of objectives are legitimate; however, a general guideline might be that the larger the degree of responsibility, the more the objectives should be geared to the overall division or department or to the development of new projects or programs. On the other hand, the objectives written for employees with less responsibility will have more routine tasks than those of their superiors.

By examining the Performance Planning Form, you can see that only a limited number of work objectives can be listed. If the total number of work objectives exceeds the space available on the form, a second Performance Planning Form should be used to accommodate the overflow.

You and your employee should ask yourselves the following questions when you have completed listing the work objectives :

- Have you both identified all of the key areas in which the employee must produce results in order to fulfill the objectives of the job?
- Does the employee really exercise significant control over the work objectives for which he/she will be held accountable?
- Is the employee really prepared to have his/her performance evaluated in terms of his/her success in achieving the results specified in the work objectives?
- Do the work objectives suggest where to look for measures of performance?
- Is each work objective separate and distinct or are several results combined into one statement?
- Are the work objectives too broad and vague?

ESTABLISHING PERFORMANCE STANDARDS

Once the work objectives are written, you and your employee should write performance standards to measure the successful completion of each objective. While the work objectives tells what is to be done, the performance standards tell when it will be done, how much of it will be done, how well it will be done and resources which are necessary to do it. There are four basic kinds of performance standards as described earlier: Time, Quantity, Quality, and



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Resource. Not every objective will lend itself to have all four kinds of standards written to measure it, but every objective must have at least one performance standard; otherwise, it will be impossible for you and your employee to know if the objective has been completed successfully.

Below are some examples of work objectives and the standards to measure them.

Work Objective	Performance Standard
Meet regularly with subordinates	Meet with each subordinate weekly to determine progress (time standard)
Reduce error rate on typing	No more than 2% error rate (quality standard) by December 1 (time standard)
Improve response time to inquiries	Respond to all inquiries from citizens within 4 hours (time standard) if only with a progress report (quality standard)
Develop and implement a training program on supervisory techniques	30-40 hours in length (quantity standard) At least 10 classes (quantity standard) Implement the program by March 1 (time standard) 90% positive evaluations by participants (quality standard) Utilize available materials; cost \$30 for paper materials (resources standard)

When determining measures for work objectives, there are several points to remember:

1. All well-written work objectives are measurable. No matter what the work objective is, it should be possible to come up with a means of appraising performance. If it cannot be counted, measured, or specifically described, you will probably be unable to know what the expected end result is. If you and your employee find it impossible to obtain a satisfactory quantitative or qualitative performance standard for a work objective, you should either go back and rewrite the work objective so as to allow for its measurement or drop that particular item since it is probable that the expected end result is unknown.
2. Well-written work objectives do not contain measures themselves, but they refer to a source of measures.
3. Most work objectives can usually be measured by several types of performance standards; however, as a general rule, more than three performance standards tend to create confusion regarding performance achievement.



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4. The key to sound measurement is the question, "Will these performance standards show the degree to which the required end results have been produced?"
5. In some cases, performance standards are suggested by the work objective and are fairly easily quantified and specified. In those cases where this is not so, it is often helpful to ask two basic types of questions about the job -
 - A. What are the concrete signs of outstanding performance in this work objective?
 - B. What are the concrete signs of poor performance in this work objective? It is often easier to bring to mind those things that represent unsatisfactory performance, and these signs should lead to performance standards.
6. For some work objectives, rather than counting or describing what has happened, a measure can be selected which focuses on times when the work objective was not accomplished. For example, in the area of information technology, keep track of "unscheduled down time."
7. If an evaluation by another party is necessary to measure achievement, it is important to list in advance who will do the evaluation and on what basis.

In establishing performance standards, you and your employee need to direct your efforts toward finding the least subjective indicators of achievement. As you do this you increase the chances that, regardless of who makes a performance assessment, the judgment will be the same. Performance standards should be written in terms which are as specific and measurable as possible, although it is not necessary that every performance standard be tied to numbers; what is important is that both you and your employee understand exactly what is meant by the performance standard.

It is desirable to write as many performance standards as possible for each work objective because both of you will then be able to track the progress of the performance plan.

SETTING PRIORITIES

When you review the work objectives you can see that not all of them have "equal weight" in terms of achieving the total job. Clearly, some are critical, although all are important. The process of priority setting allows you to indicate the importance of each work objective.

Priorities may be established in one of two ways. They may either be listed as # 1, 2, 3, etc. or they may be established as a percentage. In the latter case using a base of 100, the priorities would be expressed in terms of the weight each objective carries as part of the overall job; for example, one objective might be 10% of the job, another 35%; these percentages would add up to 100%.

Using the percentage system of setting priorities helps provide the employee with more specific guidelines about the importance of each objective than does the simple # 1, 2, 3 ordering, but either system is acceptable so long as you both understand what the priorities mean.



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PERFORMANCE NOTES

Although the "Performance Notes" section of the Performance Planning Form is not completed at the time of the performance planning conference, some explanation of its use is necessary.

This section of the Performance Plan is used to track the employee's progress in meeting the objectives. Your employee might keep notes about his/her progress, any difficulties encountered, or any outstanding successes for use in discussions during progress reviews (at least quarterly) with you. You can use the section on your copy to make similar notes with specific examples for the purpose of providing feedback and guidance to your employee. By having one specific place to write comments, you will be able to keep a good record regarding the employee's performance for the purpose of rating.

QUARTERLY PROGRESS REVIEWS

In addition to good daily coaching and feedback, you and your employee should meet at least quarterly, but more frequently if needed, to discuss the employee's Performance Plan. While not as formal as the rating review session, the quarterly reviews do provide you both an opportunity to discuss the employee's performance in more detail than informal coaching allows.

The quarterly progress review serves several important purposes:

1. It provides you and your employee an opportunity to review together the progress-to-date of the Performance Plan.
2. It allows you a more formal opportunity to praise employees who are meeting or exceeding work objectives or a chance to counsel and guide employees who are not meeting work objectives.
3. It provides you both a chance to make any revisions in the plan made necessary by changing circumstances.
4. It provides you with an appropriate time to reinforce your employee's commitment to reaching his/her objectives.

SUMMARY OF PERFORMANCE PLANNING STEPS

Step 1 The supervisor and employee should meet to discuss and jointly complete a finalized Performance Planning Form for the employee. This plan should be completed to coincide with the start of the employee's rating review period.

This discussion should be an open and free forum for ideas from both participants. The employee will be more committed to achieving the objectives if he/she has a great deal of input. The supervisor, on the other hand, needs to ensure that the employee's objectives are compatible with others in the work unit and department, and that the results will be consistent with the overall goals of the City.

Step 2 After you and your employee agree on the Performance Plan, the plan should be submitted to superiors in the department for review. Once the plan has been approved, the employee should begin working on his/her objectives.



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Step 3 At least quarterly, but more frequently if needed, you and your employee should discuss the progress-to-date of the Performance Plan. You should take this opportunity to ensure that the plan is progressing satisfactorily, to give the employee feedback concerning performance, and to provide guidance to bring the plan back on track if needed.

At the same time the progress review takes place, you and your employee should make any changes in the Performance Plan you deem necessary.

Although the quarterly progress reviews are an essential element of the performance planning and appraisal cycle, these reviews are in no way intended to replace good daily supervision.

Step 4 When it is time to rate the employee on the Employee Performance Rating Form, you should base your ratings on the employee's Performance Plan. During the employee's rating review session you should review with the employee the work objectives which were agreed on during the planning conference versus actual accomplishments.

Step 5 Either at the end of the formal rating review session or a few days later, you should begin developing with your employee the Performance Plan for the next rating period.

GUIDELINES FOR RATERS

1. The following suggestions should aid raters in objectively and correctly evaluating employees:
2. Familiarize yourself with the contents of the employee performance rating report form and the instructions in this handbook.
3. Base your evaluation of the employee's performance on the results of his/her efforts. Control your personal likes or dislikes, biases or prejudices. Rate all employees by results.
4. Understand thoroughly the duties and requirements of the particular position held by the employee to be evaluated. It will be helpful to review the class specification on file in your department. Additional copies are available from the Human Resources Department. Apply uniform job standards for all similar positions under your supervision.
5. Before starting any rating, carefully read the Performance Rating Factor definitions listed earlier in this handbook. It is important that you understand the meaning of each factor and item so that all employees are rated on the same basis. Do not assume you know the meaning of any term until you have checked the definition given since the terms have been defined specifically for this rating system.
6. Each factor marked (X) by the computer must be rated for each employee or the report will be returned, unless proper explanation for deletions is provided under Item



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- #1. To give a value rating for a particular factor, simply use the value codes explained under Item #15 on the rating form.
- A. Consider each factor separately, taking into account only that particular factor which you are rating. Do not be influenced by your general opinion of the employee's overall performance. Do not consider performance for any factor which does not relate to the one being rated.
7. Guard against erroneous judgment, which can cause problems in rating employees. Among these are:
- A. Central Tendency - Rating all employees as average
 - B. Halo Effect - Allowing one aspect of an employee's performance to influence the entire evaluation.
 - C. Overvaluation or undervaluation - The tendency of a rater to overvalue or undervalue a given factor.
 - D. Biases - Race, religion, national origin, sex, etc.
8. Do not be overly influenced by one or two unusual incidents, but rate in terms of the employee's regular day-to-day performance during the entire rating period. Similarly, do not go back prior to the period being covered by the report in your consideration.
9. Consider your evaluation in terms of the employee's present duties, not in terms of the duties of a different job class.
10. Do not consider the potential value or the personal abilities of the employee, except as they are actually revealed in and used on present work assignments. Your ratings should reveal how well employees actually perform tasks in their present positions. In rating individual factors, it is entirely possible for the ratings to differ among factors. In most cases, the employee's performance in certain areas is better than it is in others.
11. An employee with a short service record is not necessarily less effective than a long-term employee. Seniority in itself is no guarantee of excellence.
12. High-level positions do not guarantee high-level performance. Evaluate all employees on the quality of their results and the standards of their positions. Remember, it is possible that a Clerk I may very well be meeting the job requirements more effectively than a highly trained employee in a higher classification.
13. Attitudes and job performance can change. A previous rating does not necessarily have to agree with the one now being prepared.
14. The rating you give reveals your judgment of the employee's work performance. Aside from getting facts upon which to base your ratings, do not be influenced in your rating by the unsubstantiated opinions of others.



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15. Any rating in the "unsatisfactory," "marginal", or "outstanding" categories must be substantiated under Item #18 and/or #19 of the Employee Performance Rating Report.
16. Failure to rate an employee on a pre-marked (X) factor or the rating of an employee on a factor that was not pre-marked (X) requires explanation under Item #1 and #17 of the Employee Performance Rating Report.
17. Remember in rating employees you should not expect them to meet standards of performance unless you have instructed them in all the job requirements. You cannot hold an employee responsible for work accomplishments if he/she has not received understandable assignments and instructions from you. If an employee has an area of difficulty, what have you, as a supervisor, done to help your employee solve problems, which may be handicapping performance? You have the most direct responsibility for developing your employees in their total performance and its relationship to job standards. If an employee is not getting along, they should be told how and in what respect they are failing, and how they can improve performance. Employee development is one of the supervisor's most fundamental responsibilities.

OVERALL RATING

After you have rated the employee on all the required factors, you should sign the form and submit to your immediate supervisor for review. 00 NOT COMPLETE ITEM #20 - OVERALL RATING. Your immediate supervisor will forward the rating forms, through channels, to the Human Resources Department. The Human Resources Department will then apply pre-determined statistical weights to your ratings on each of the rating factors in order to determine the overall rating. This is one of the important features of the rating system. While supervisors have always known that some rating factors were more important and more related to overall performance than others, previously there was no way to incorporate this into the rating. Now, through a process of statistical weighting, greater importance has been assigned to certain rating factors and will be reflected in the overall rating. Which factors are given more importance and how much more importance they are given has been pre-determined, based on the special characteristics of each job class. After an overall rating has been determined, the forms will be returned to you to be reviewed with the employee.



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THE REVIEW SESSION

PURPOSE

A successful review session requires input by both the rater and the employee. It is your opportunity to let employees understand your evaluation of their performance, to give credit for their strong points and to plan ways for employees to improve their performance where needed. It is the employees' opportunity to express their feelings about their performance, strong points and needed improvements.

PREPARING FOR THE REVIEW

1. Review again your rating of the employee's performance.
 - A. Consider why you rated the employee as you did.
 - B. Have available facts or illustrations from job performance to support your rating.
2. Define the major purpose of the session and the goals which you hope to achieve. Outline the items you hope to discuss. You should keep in mind that this outline is only a guide. As you actually discuss the performance evaluation with the employee, you may wish to vary the order to meet the employee's needs. However, having the plan will better enable you to cover important points without wasting time or causing embarrassing confusion.
3. Set the time and place and inform the employee. Choose a time which will be convenient for both of you and allow enough time for the review session to be conducted in as relaxed a manner as possible, e.g., more than five or ten minutes. Don't schedule the session too soon after a disciplinary action or an argument. Make sure to hold the conference early enough so you do not have to meet a deadline.

It is most important that a location for the discussion be selected which will allow for privacy and freedom from interruption in a neutral setting. The discussion should be treated as confidential, one between you and one of your employees. Discussing these matters where others can overhear the conversation will inhibit the discussion, and possibly be embarrassing to the employee.

To be neutral, the location should be one where the employee will feel comfortable and free to talk. If the employee is likely to be tense about being "called into the supervisor's office", you should look for another place (an unscheduled conference room, an unoccupied work area, someone else's office, etc.). You should also avoid physical separations, especially those that carry some status, such as your desk or a worktable.

Notify the employee well in advance (several days) of your intention to hold a performance review session. In addition to letting the employee know the time and place, you should also inform him/her of the reason you are holding the session.

There are two reasons for providing several days' notice to the employee. First, since you will have spent some time preparing for the session, it is only considerate to afford the employee the



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same opportunity. Second, you will need the employee's ideas and feelings concerning his/her performance and improvement plans. The preparation, which the employee will make, will help to make his/her input more meaningful.

The review session is also an excellent chance for you to obtain valuable information concerning your own behavior. In addition to asking the employee to collect his/her thoughts about their performance, ask the employee to consider what you as a supervisor could do differently to be a better supervisor.

CONDUCTING THE REVIEW SESSION

1. BEGIN THE DISCUSSION WITH A GREETING

A review session is similar to many other discussions; omitting a normally phrased greeting, made in a conversational tone, would be rude and may be seen as an attack by the employee. The review session can be a difficult experience, at least initially, for the employee as well as the supervisor. The greeting is intended only to reduce tension and help put the employee at ease.

Generally, small talk should be avoided. While it may, in some cases, relax employees and get them talking, it does carry two potential dangers. First, it may have a reverse effect, as employees may feel apprehensive about the delay in "getting to the point." Second, it may take the discussion far afield and waste valuable time.

2. BEGIN DISCUSSING THE EMPLOYEE'S PERFORMANCE

You may wish to introduce the form at this time or hold it until later in the session. In either case, be certain that you point out those areas in which the employee has done well, in addition to those in need of improvement. In general, you should consider a single area (or a few related ones) at a time.

3. TURN THE DISCUSSION BACK TO THE EMPLOYEE

One good way of getting the employee to participate in the review session is by asking a general question such as, "How do you feel about that?" or "What can you tell me about this?"

4. FOLLOW A PROBLEM SOLVING SEQUENCE

In cases where there appears to be a performance problem, a sequence for gathering and evaluating information will usually help.

- A. Begin with general questions. Ask general questions until you are relatively sure that the employee has given you as much information as possible about the problem.
- B. Probe for specific information. After the general questions, you should use specific questions to gain as much understanding about the problem and



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possible causes as you can. The exact areas, which you will want to probe, will depend upon the nature of the problem. However, you will probably want to consider some of the following factors:

- The effect of your actions as the supervisor.
- The employee's responsibility and effect upon the situation.
- The effect of actions taken by co-workers and outsiders.
- Working conditions, including workflow, scheduling, procedures, and processes.
- Equipment, supplies, and materials difficulties.
- Communications and information flow.
- Performance problems related to skills, abilities, aptitudes, and training.

5. SUMMARIZE THE INFORMATION AND DEFINE THE PROBLEM

The problem definition should consist of two parts: (a) the performance standard and (b) the reason(s) it has not been achieved.

6. ESTABLISH OBJECTIVES FOR IMPROVEMENT

You should determine those things which you will do and what the employee will do to improve performance. Make sure that the employee understands what is expected by asking a specific question: "Will you be able to do that?" or "Do you foresee any problems in doing this?"

7. CLOSE THE SESSION

- A. Review the points made in the review session and encourage the employee to summarize them or put them in his/her own words.
- B. Always reassure the employee of your interest in his/her progress and indicate your willingness to take up the discussion again at any time.
- C. Mutually discuss and set specific plans for improvement where needed and let the employee know how you are going to help.
- D. Have the employee sign the report. If the employee still disagrees with a rating on any particular factor, have him/her initial their disapproval on line #b opposite that rating. Also have him/her check the line indicating whether they wish to formally appeal their rating. If additional notes or comments are attached to the rating form, have the employee sign these sheets also.
- E. You should close the review session when you have made clear whatever points you intended to cover, when the employee has had a chance to review the problems, when it appears that no misunderstandings exist, and when you and the employee are at a natural stopping point.



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EFFECT OF RATING

BARGAINING UNIT EMPLOYEES

For bargaining unit employees, see specific labor agreement for merit increases.

If an employee receives an overall rating of MARGINAL or UNSATISFACTORY, no merit increase will be granted at that time. The employee may be re-rated within three (3) months from that date and, if overall performance is then at least satisfactory, a merit increase may be granted. The employee's anniversary date for future merit increases changes each time an increase is deferred. An increase may be deferred for only up to three (3) months after which time serious consideration should be given to the employee's dismissal if his/her overall rating has not reached the SATISFACTORY level.

NON-BARGAINING UNIT EMPLOYEES

RELATION OF SERVICE RATING TO MERIT INCREASES

The following standards of performance must be attained by an employee as evidenced by his/her annual, overall performance rating in order to be eligible for a merit increase:

1. To be eligible for a 1.5% merit increase, an employee must have attained on the current annual overall performance rating, in addition to otherwise being eligible, an evaluation of SATISFACTORY.
2. To be eligible for a 3% merit increase, an employee must have attained on the current annual overall performance rating, in addition to otherwise being eligible, an evaluation of ABOVE SATISFACTORY.
3. To be eligible for a 3% merit increase, an employee must have attained on the current annual overall performance rating, in addition to otherwise being eligible, an evaluation of OUTSTANDING.
4. If an employee receives an overall rating of MARGINAL or UNSATISFACTORY, no merit increase will be granted at that time. The employee may be re-rated within three (3) months from that date and, if overall performance is then at least satisfactory, a merit increase may be granted. The employee's anniversary date for future merit increases changes each time an increase is deferred. An increase may be deferred for only up to three (3) months after which time serious consideration should be given to the employee's dismissal if his/her overall rating has not reached the SATISFACTORY level.



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APPEAL PROCEDURES

NON-BARGAINING UNIT

DEPARTMENT REVIEW

An employee who objects to a marginal or unsatisfactory performance rating because the employee believes that the rater was prejudiced may have such rating reviewed by the rating and review authority generally within two (2) weeks after the employee requests such review. The employee and rating and reviewing authority will attempt to reach a consensus.

If, after such review, the employee still believes the rater was prejudiced, the employee may appeal the rating to the Director of Human Resources within seven (7) days following the review by the rating and reviewing authority. Once the Director of Human Resources has determined that the Department review has been held, the Director of Human Resources shall appoint a Rating Review Committee.

Prejudice shall be defined as an opinion formed without knowledge, thought, and reason.

The marginal or unsatisfactory rating referred to above shall be for the entire rating and not any one (1) section thereof. In the event that an employee receives a marginal or unsatisfactory rating of a particular category within the rating, the employee shall have the right to submit a written rebuttal concerning the facts at issue.

RATING REVIEW COMMITTEE

A Rating Review Committee shall be appointed whenever an eligible request for review of an employee performance rating is filed with the Director of Human Resources. The Committee's purpose is to ascertain, to the best of its ability, if the rating was a result of prejudiced considerations of the rater rather than the actual work conduct of the employee rated. The membership of the Committee shall consist of:

- A. The appealing employee's department head or an employee designated by the department head. This member of the committee shall not be the employee's rating or reviewing authority. If possible, such member shall be familiar with the class of work performed by the appealing employee.
- B. The Director of Human Resources or a designated representative.
- C. An employee selected by the appealing employee. Such employee will be selected from the same classification as that of the appealing employee. The Director of Human Resources shall designate related classifications of employees from which the employee may select in the event there are no other employees of the same classification.

The Director of Human Resources will act as chairman of the Rating Review Committee or shall appoint a chairman in his/her absence. The membership of the Committee will vary, depending upon the department from which the employee's appeal originates. The employee shall have



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seven (7) days from the date he/she had his/her rating reviewed with the rating and reviewing authorities to file an appeal with the Director of Human Resources. The employee shall state what part of the Performance Rating Report, in his/her opinion, is not correct. This shall be in writing and be filed with the request for review of the rating(s). The employee's appeal shall be promptly considered by the Rating Review Committee in order of its filing. The employee and his/her rating authorities shall be present during the review of the employee's appeal.

Proceedings shall be informal, orderly and pertain to the presentation of information and evidence relating to the employee's belief of prejudiced consideration of the rater during the period the rating evaluation covers.

Employees who have observed the employee's performance for a considerable amount of time during the rating period may testify regarding the employee's contention and the rating authority's rating evaluation. The Rating Review Committee shall carefully budget the time of all employees appearing before it so that the operations of the department will not be disrupted.

The Committee shall present a written report of its findings to the Director of Human Resources as a matter of record as soon as possible after conclusion of the hearing. The appealing employee may also submit a written statement to the Board for inclusion in the records.

BARGAINING UNIT EMPLOYEES

The appeal procedures may vary for the employees covered by a labor agreement.
Please see the specific Collective Bargaining Agreement for appeal procedures.



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CONCLUSION

FINAL OBSERVATIONS

Performance evaluation should not be limited to a formal once-a-year process. You, as the supervisor, should always be informally evaluating the work of your subordinates. It is very important; however, that you base your actions in the period between performance ratings on the principles outlined in this handbook. Discussions of the employee's job and how well he/she is doing should not be limited to the specific time set aside for the purpose of the formal performance review session. Follow the progress of the employee; note and mention improvements in job performance. Check often to see if there is anything further you can do to help the employee in meeting objectives and performance standards. **(REMEMBER THAT PERFORMANCE REVIEW IS A MAJOR PART OF YOUR JOB AS A SUPERVISOR.)**

When properly administered, the performance planning and rating system can benefit not only the City of Fort Lauderdale as a whole, but the supervisors, employees, and citizens as well. The City gains from improved communications, less duplication of effort, and from the opportunity to improve productivity and tap creative talent more effectively. You, the supervisor, benefit from having an efficient and more accurate mechanism for periodic review and appraisal, from putting employees' capabilities to better use, and from having a means for realistically measuring results. The employee benefits by having the opportunity to participate in the planning and appraisal of his or her job, by giving and receiving regular feedback, by developing his or her particular talents and abilities and especially by having his or her role in the organization clarified. Finally, the citizen's benefit by having more efficient and effective services provided because the entire organization is working as a team.

To be of maximum benefit to you and to the City, we need your help in further developing the rating system. We will be very grateful for your comments and suggestions concerning the performance rating forms and the content of this handbook for raters. Please jot down your suggestions as you use the forms and send them to the Human Resources Department.